



2144  
EPW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

HARVEY R. BIALK et al.

Group Art Unit: 2144

Examiner: Tam T. Phan

Serial No.: 09/851,234

Filed: May 8, 2001

For: NETWORK MANAGEMENT METHOD AND SYSTEM FOR  
MANAGING A BROADBAND NETWORK PROVIDING  
MULTIPLE SERVICES

Attorney Docket No.: 2001-0147 (ATTB 0101 PUS)

**INFORMATION DISCLOSURE STATEMENT AND  
CERTIFICATION UNDER 37 C.F.R. § 1.97(c) AND (e)(1)**

Mail Stop Amendment  
Commissioner for Patents  
U.S. Patent & Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and §§ 1.97-1.98, the references listed and identified on the attached Forms PTO/SB08A and/or SB08B are being submitted herewith for consideration by the Examiner. This Statement is being filed in accordance with 37 C.F.R. § 1.97(c), i.e., after the mailing date of a first Office Action on the merits but before the mailing of a final action or a notice of allowance.

Each item of information contained in this Statement was first cited in a European Search Report dated November 24, 2004 (copy enclosed) in a counterpart European

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8**

I hereby certify that this paper, including all enclosures referred to herein, is being deposited with the United States Postal Service as first-class mail, postage pre-paid, in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 on

December 17, 2004  
Date of Deposit

James N. Kallis  
Name of Person Signing

[Signature]  
Signature

Application (EP 02 253 204.8) of related U.S. application Serial Number 09/851,285 not more than three months prior to the filing of this Statement.

While this Statement is being filed in compliance with the duty of disclosure, citation of the attached references is not to be construed as an admission that any of the references are "material" as defined under 37 C.F.R. § 1.56(b).

No copies of the listed U.S. patent references or the listed U.S. patent application publication references have been included herewith pursuant to 37 C.F.R. § 1.98(a)(2). All other references have been provided as required. Consideration and entry into the record of the listed references is respectfully requested.

Respectfully submitted,

**HARVEY R. BIALK et al.**

By: 

James N. Kallis  
Reg. No. 41,102  
Attorney for Applicant

Date: December 17, 2004

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**Complete if Known**

## Application Number

09/851,234

**Filing Date**

May 8, 2001

**First Named Inventor**

Harvey R. Bialk et al.

Group Art Unit

2144

Examiner Name \_\_\_\_\_

Tam T. Phan

Attorney Docket Number

2001-0147 (ATTB 0101 PUS)

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of

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Examiner  
Signature

Date \_\_\_\_\_

Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for Form 1449B/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

## **Complete if Known**

Application Number	09/851,234
Filing Date	May 8, 2001
First Named Inventor	Harvey R. Bialk et al.
Group Art Unit	2144
Examiner Name	Tam T. Phan
Attorney Docket Number	2001-0147 (ATTB 0101 PUS)

Sheet 2 of 2

## **OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Bhatti S.N. et al.: "On Management of CATV Full Service Networks: A European Perspective" IEEE Network, IEEE Inc., New York, U.S. vol. 12, no. 5, September 1998, pgs. 28-39	
		Gardner R. D. et al.: "Pattern Discovery and Specification Techniques for Alarm Correlation" Network Operations and Management Symposium, 1998. NOMS 98., IEEE New Orleans, LA, USA 15-20 Feb. 1998, New York, NY, USA, IEEE, US February 15, 1998, pgs. 713-722	
		Haritsa J.R. et al.: "Mandate: Managing Networks Using Database Technology" IEEE Journal on Selected Areas in Communications, IEEE Inc., New York, U.S., vol. 11, no. 9, December 1, 1993 (1993-12-01), pgs. 1360-1372	

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